

MONTH END ACTIVITY REPORT
Bureau of Securities
October 2013

Securities Registrations			
Filing/Security Type	Paper	Electronic	Total
Additional	0	0	0
Oversales	3	0	0
Renewal Filings	0	0	0
New Notice Filings	0	0	0
Common Stock	0		0
Limited Partnerships			0
Preferred Stock			0
REIT	0		0
Debt	0		0
Qualification			0
Other	0		0
Denials			0
Sales of Unregistered Securities			0
Withdrawals			0

Broker-Dealers and Broker-Dealer Agents			
Broker-Dealers			
Activity	FINRA	Non-FINRA	Total
New	0	0	0
Applications Withdrawn/Abandoned			0
Applications Denied			0
Terminations	0	0	0
Gain/Loss Broker-Dealers	0	0	0
Total Broker-Dealers Registered as of October 31, 2012	0	0	0
**			
Broker-Dealer Agents			
Activity	FINRA	Non-FINRA	0
New (Includes Automatic, Manual, Temp. Queues)	0	0	0
Denied			0
Terminations	0	0	0
Gain/Loss Agents	0	0	0
Total BD Agents Registered as of October 31, 2012	0	0	0

** Last month Should have been 29. 1 New represents BD added in September.

MONTH END ACTIVITY REPORT
Bureau of Securities
October 2013

Investment Advisers and Representatives			
Investment Advisers			
Activity	State	Federal	Total
New	0	0	0
Applications Withdrawn		0	0
Registrations Terminated/Withdrawn	0	0	0
Denied	0	0	0
Gain/Loss effective registrations	0	0	0
Total IA's Registered as of October 31, 2012	0	0	0
Investment Adviser Representatives			
Activity	State	Federal	Total
New	0	0	0
Denied			0
Terminated	0	0	0
Gain/Loss effective registrations	0	0	0
Total IAR's Registered as of October 31, 2012	0	0	0

Exemptions			
Exemption Type	Number		
8-1108.02(2)	28		
8-1108.02(3)			
8-1111(16)			
8-1110(5)(b)			
8-1111(20)			
8-1110(8)			
8-1111(9)	9		
8-1111(11)(a)			
8-1111(11)(b)			
8-1111(14)			
8-1111(15)			
8-1111(17)			
Total Exemptions as of May 31, 2012	37		